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### Appointment, Promotion and Continuing Appointment (Tenure) Policies, Procedures and Standards, Part B: Librarian Faculty Holding Academic Rank on the Syracuse Campus

State University of New York College of Environmental Science And Forestry

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**SUNY College of Environmental Science and Forestry**  
**Appointment, Promotion and Continuing Appointment (Tenure)**  
**Policies, Procedures and Standards**

**Part B: Librarian Faculty Holding Academic Rank on the Syracuse Campus**

Adopted October, 2010  
Revised May 2015

This document is intended to serve as an addendum to, and continuation of the SUNY College of Environmental Science and Forestry Appointment, Promotion and Continuing Appointment (Tenure) Policies, Procedures and Standards dated March 2015, (including all appendices except as superseded by this document for the purpose of direct application to library faculty positions). The proposed policies herein are intended to apply only to Moon Library personnel holding academic rank as described in the above referenced policy. This document is also intended to conform and comply with the campus-wide appointment, promotion and continuing appointment policies, procedures, and deadlines as adopted at ESF, with the policies of the SUNY Board of Trustees, and with UUP contractual guidelines and requirements.

Faculty holding academic rank are defined by the SUNY Board of Trustees (SUNY BOT Policies Sec. II, §1(j)) as “those members of the professional staff having the titles of professor, associate professor, assistant professor, instructor, and assistant instructor... and ... members of the professional staff having the titles of librarian, associate librarian, senior assistant librarian, and assistant librarian”.

Thus, the information described herein does not apply to librarians who hold “qualified” academic rank or temporary appointments, nor does it apply to library employees without academic rank, including library paraprofessional and/or clerical support staff.

This document is also in compliance with the Association of College and Research Libraries ([ACRL\) Standards for Faculty Status for Academic Librarians, as revised October, 2011.](#)

For the remainder of this document, the term “librarian” refers only to ESF library staff holding academic rank. All librarians hold 12-month appointments. Libraries are “Communities” and communities have members. Therefore, “members” will be the term used throughout this document to refer to library “users” or “patrons.”

## STANDARDS FOR ACADEMIC RANKS and CONTINUING APPOINTMENT

### General Considerations

#### *Library Mission:*

The mission of the Moon Library is to support the College in meeting its educational, research and public service goals. The Library provides materials and services that are necessary to meet the needs of faculty, students and, in general, the larger college community. These materials and services not only supply information, but also provide opportunities for learning to members on campus, and to those at a distance. The library seeks to develop in students the lifelong ability to learn independently.

#### *Importance of Institutional Purpose and Values:*

The standards for academic rank and continuing appointment are meant to reflect the mission of the library, the mission of the parent institution (ESF), and the quality of information services which we hope to provide. They define the qualities, behaviors and achievements we seek in librarians to promulgate the library's purpose and values. They must be consistent with and supportive of the institutional mission – "To advance knowledge and skills and to promote the leadership necessary for the stewardship of both the natural and designed environments." Further, they are community standards, which encompass a commitment to sustainability and service learning that are based on a shared vision and shared principles. They are standards to which we hold ourselves in dedication to our mission and specific service goals in the fulfillment of that mission.

The library accomplishes its mission by:

- Acquiring, organizing, describing, processing and supplying access to current and retrospective information in various formats responsive to the needs of the faculty and students in a timely and accurate manner.
- Providing long-term digital and physical storage for information, in archival and digital repositories.
- Offering research assistance, interlibrary loan, circulation services and a web portal, which encourages and fosters interaction between users and these information services.
- Providing data management services, an institutional repository, archival access and storage commensurate with our institutional needs and priorities.
- Providing a service oriented library staff and a client centered environment, which encourages and facilitates scholarly communication.
- Offering a credit course in information literacy that provides students with the ability to formulate and use search strategies to find, evaluate, and use information in all its formats (print, electronic.)

- Conducting informal workshops, class lectures and reference desk instruction in person and through user guides to provide "as needed" instruction to classes and individuals.
- Fostering in students the concept that information seeking is a means to a lifelong educational process vital to professional and personal growth.
- Providing traditional and non-traditional services in support of the College's learning and research mission.

### *Specific Service Goals*

The goal of Research Services is to assist all library members in the ESF community as well as the community at large, either in person or remotely, with their specific library/information needs. All reasonable efforts are made to ensure that the members' needs are met at Moon or through referral to other sources of information.

The goal of Interlibrary Loan borrowing is to provide materials from other libraries (that are not available at Moon) to our patrons in a timely and effective manner. The goal of Interlibrary Loan lending is to provide library materials to other library patrons (locally, nationally and internationally) that they request in a timely manner.

The goal of Circulation Services is to make circulating and reserve library materials accessible and available to patrons in a timely and efficient manner.

The goal of Bibliographic Services is to provide effective and efficient access to the library's collection by organizing, cataloging, classifying, processing and otherwise making the library's collection available for patron use in a timely and accurate manner.

The goal of Collection Development Service is to work with ESF colleagues to provide information sources in varying formats in keeping with the mission of the College. A plan for the systematic and rational building of the collection is outlined in the Material Selection Guidelines.

The goal of Library as Publisher Services is to provide quality, peer reviewed scholarly information to our members at a reduced cost. Efforts to promote open publishing, open textbooks, and access to scholarly information without barriers such as paywalls or page fees is critical to our mission.

The goal of Scholarly Communications Services is to promote the fundamental role of scholarly communication in a major research university, particularly in the emerging digital publishing environment.

The goal of Instructional Services is to conduct instruction both formally and informally in the use of library and other information sources, to teach faculty, students, staff, and others in the community how to form search strategies, to evaluate and to ethically use information sources in various formats.

### *SUNY Criteria:*

The Policies of the SUNY Board of Trustees list five criteria which may be considered in whole or in part in the evaluation of academic employees. They are: (1) Mastery of subject matter, (2) Effectiveness in teaching, (3) Scholarly ability, (4) Effectiveness of university service, and (5) Continued growth. The criteria are presented as guidance; they are not mandatory or necessarily complete. More importantly, they are not standards. The Library is responsible for determining standards for promotion and Continuing Appointment for Library faculty.

### *Applying the Standards -- The Scholarship of Librarianship*

Scholarship is at the heart of the academic enterprise. As with any academic rank, scholarship is the most important criterion in the library and should be given the most weight in the appointment, promotion and tenure process. Mastery of subject matter is directly related to and reflected in the skills with which the responsibilities and duties of librarians are carried out. Academic libraries are complex information environments, and the responsibility of members of the librarians may reflect various areas of knowledge and expertise. Scholarship in this sense reflects a diverse knowledge and diversity within the practice of that knowledge. Demonstration of Mastery of library scholarship may include:

- The ability to select, acquire, analyze, transmit, and preserve documents and collections of recorded knowledge for students, faculty and staff of the college, as well as for scholars outside the college;
- The ability to organize information optimally for subsequent retrieval;
- The ability to adapt to, and adopt new technologies for the provision of traditional as well as non-traditional services in information provision that serve the mission of the library and the college;
- The ability to teach students and staff of the college, scholars within SUNY, within the region and beyond, and members of the general public to identify information needs, develop and implement search strategies, recognize and access appropriate information sources to meet those needs, and critically use those sources;
- The ability to develop and apply technologies that further the library's mission of service, including the use of multiple technologies to make appropriate resources available to the broader community of scholars, students, professionals, and the general public; and
- The ability to apply professional knowledge and judgment in the administration of library collections, services, and initiatives to further the teaching, research, and service missions of the library and the college.

The Library values excellence in the professional work of our librarians. Librarians should demonstrate sustained growth in the field and high quality contributions in the area(s) of their core responsibilities. Documented initiative, innovation, creativity, and leadership in the design of services and solutions are particularly valued, as is evidence of the positive impact of the scholarship of each librarian.

Assessment of the quality of contributions to, and therefore, the mastery of librarian scholarship is based on annual review (including a written summary), peer evaluation, and documentation of accomplishments provided by the candidate, including measures of the impact of those accomplishments. The annual review should refer to as many measures as are necessary and available, and candidates are encouraged to summarize in their dossiers evidence or measures of the impact of their scholarship.

#### *Applying the Standards -- The Scholarship of Teaching and Learning*

As the college values teaching and learning, so does the Moon Library value teaching by members of the library faculty. Librarians teach many different audiences (undergraduates, graduate students, college staff, our colleagues, the general public, professionals in the field, and many others.) We teach using a variety of media (e.g., guest lectures in resident education courses, library instruction classes, the reference desk, workshops, and seminars.) The expertise of the librarians in information literacy, subject bibliography, discipline-specific research methods, and information science enables them to contribute to the vigorous academic life of the ESF campus through their teaching to curricular programs and student learning. A high value is placed on teaching that includes or incorporates a service learning component for the students and teaching that incorporates a focus on sustainability in practice or in theory.

Much of the teaching of the librarians is not credit-based and is not documented by peer review, or by student evaluation. However, teaching by librarians is expected to be of high quality even in undocumented settings and is expected to advance the learning experiences and learning outcomes of their audiences, and to contribute to the development of information literacy, as well as an aptitude for life-long learning on the part of students and other audiences. The development and teaching of credit bearing courses, whether offered through ES For another college is one of several ways in which librarians promote student learning.

Librarians do not have student advisees in the traditional sense, as there is no library sciences degree program at this campus. However, librarians often work closely with student workers on specific projects, such as interlibrary loan, archives, and digital collections. Librarians supervise and mentor graduate student interns seeking experiential learning credit to satisfy criteria for MLS/MLIS degree programs. Librarians serve as chairs and committee members for thesis/dissertation defenses and for doctoral candidacy exams. Librarians also encounter and assist students through the

departmental liaison program and research help requests. These activities constitute an important part of the scholarship of library teaching.

Library faculty members should document efforts to assess and improve one's teaching. Evidence of reflective and creative use of a variety of teaching methods that advance learning is also valued.

Candidates for tenure and promotion to Associate Librarian or higher should exhibit a pattern of growth and development leading to excellence by the sixth year.

Candidates for promotion to Librarian should demonstrate a sustained record of excellence, as well as outstanding creativity and leadership.

*Applying the Standards – Service to the College, the Community and the Profession:*

The Moon Library highly values active participation and leadership to the campus, to the local community and to the library profession. Members of the library faculty are expected to apply their professional expertise in developing new programs and services, providing solutions to problems, and guiding the strategic direction of the library within their core responsibilities as a faculty member. Library faculty members contribute to the governance of the college, and/or its various units, and to the diversity, intellectual, and cultural life of the campus community. Professional participation at the appropriate level is expected. Such participation may be in state, regional, national, or international professional associations or organizations.

Contributions in the category of service may include but are not limited to participation in committees at all levels; participation in task forces and other problem solving activities; mentorship of new librarians; contributions to the college's programs to enhance quality of life, equal opportunity, cultural diversity, sustainability, and service learning; assistance to student organizations; and participation in faculty governance. Outreach and public service beyond the campus may include leadership or service in volunteer or professional associations or learned societies; participation in community affairs as a representative of the library or the college; and assistance in the librarian's field of expertise to groups, organizations, corporations, government, and communities.

Candidates for promotion to Sr. Assistant Librarian or higher, and for Continuing Appointment must demonstrate a strong service orientation, a record of service to the campus, and a record of service to the profession as befits the desired faculty rank.

### *Applying the Standards -- The Scholarship of Creative Accomplishments*

Faculty members of the Moon Library are expected to establish and sustain programs of high quality creative accomplishments appropriate to his/her core responsibilities and rank which are consistent with the Library's mission and goals. Librarians at ESF are 12-month employees whose primary mission is to engage in direct public service to the campus community. Librarians do not have a portion of the year away from other duties to write and conduct research. Research and publication in peer reviewed scholarly journals is not part of our normal professional obligation, but is often above and beyond the normal expectations of productivity.

The scholarship of library creative accomplishment is documented through a portfolio of quality work output, reflecting an active and focused program of inquiry. The Library highly values publications and presentations that have undergone peer review or competitive juried selection. A rigorous selection process may apply to books, chapters or parts of books, conference presentations, and articles in professionally significant non-refereed journals.

Also valued are high quality presentations and publications that have been invited or otherwise solicited, as well as those published in a broad spectrum of library literature, or presented at conferences sponsored by professional or scholarly organizations at a national, regional, or state-wide level. Other valued creative accomplishments would include copy-editing or reviewing of books or journals, contributing to newsletters or blogs, and other published media, both traditional and non-traditional formats, Attracting Grants/External Funding to develop creative service opportunities.

Evidence of the impact of the candidate's creative accomplishments, and of the candidate's reputation in the discipline is also valued.

Creative output that directly benefits the Moon Library and its users is also valued. This would include the development of local bibliographies, library research guides, subject guides, videos, and other documents in various media particular to our campus and collections.

The Moon Library values both collaboration and individual initiative. Although co-authored and solo authored publications and presentations are valued, the candidate's dossier should show some evidence of independent creative output.

Sustained progress in Creative Accomplishments should be demonstrated by librarians throughout their promotion and tenure process and their career.

Candidates for promotion to Associate Librarian or higher should demonstrate a strong portfolio of creative accomplishment through a combination of internal and external publications, presentations, and collaborative and independent creative output.



*Applying the Standards – Consideration of Different Work Assignments:*

For many reasons, library faculty members of similar academic rank may have different workload assignments. This can be expected to affect their productivity in multiple facets of their work. A faculty member's workload should be taken into consideration when evaluating whether he/she has met the institution's productivity standards. However, work assignment should not be considered in evaluating whether other institutional standards for appointment/promotion have been met.

The Allocation of effort will be assigned measured in accordance with the "Allocation of Effort of Library Faculty Holding Academic Rank on the Syracuse Campus' Full Time Equivalents (FTE) (attached as appendix C) and the ESF Policy on Faculty Teaching, Service and Research Responsibilities as last updated (2010) (attached as Appendix D).

A typical (though not standard) work assignment might be divided as follows:

- Librarianship 70%
- Teaching & Learning 15%
- Service to the Campus, Community & Profession 10%
- Creative Accomplishment 5%

*Applying the Standards -- Objectivity and judgment:*

Decisions to assign or promote an individual to a particular rank and to confer Continuing Appointment are judgments. No two library faculty records will look alike. It is up to the faculty (including the faculty holding administration positions) to assimilate the evidence presented by the candidate to determine if the standards have been met. The candidate, faculty mentors and reviewers, and the College administration should have a common understanding of the expectations for academic rank and Continuing Appointment gleaned from the records of those (internal and external) found to meet the standards.

While the decision to assign or promote an individual to an academic rank is a judgment, those making the judgment are expected to adhere to practices that foster the greatest degree of objectivity possible. It should be understood that assignment or promotion to an academic rank is based on achievement and performance as outlined in the standards. Decisions should be based only on factors listed in the standards. In particular, decisions should not be based on personal or professional differences or affinities. Further, as previously mentioned, decisions should be based on a clear understanding of the achievements and performance expected for academic ranks within their scholarly peer group.

### *Applying the Standards – Library Faculty Ranks:*

SUNY recognizes the following library ranks: Assistant Librarian, Senior Assistant Librarian, Associate Librarian, Librarian, and Distinguished Librarian. The Distinguished Librarian rank is described and awarded at the SUNY Administrative level and is outlined briefly [here](#) at the end of this document. The remaining ranks can be described using the following general characteristics:

#### The Assistant Librarian:

- Beginner, or entry level position;
- Minimal prior experience;
- Beginning professional activities and contributions to library/college community;
- Demonstrates a broad set of basic skills as a general librarian;
- Works in the context of a team doing work that is well-defined, short-term, limited in scope, and supervised;
- Contributes to planning and managing within a team;
- Exerts some influence and impact within the team and the organization.

#### The Senior Assistant Librarian:

- Has some experience, or is a competent specialist;
- Contributes to professional activities and organizations;
- Active on committees and service groups;
- Demonstrates broader, more well defined skills and a greater degree of independence;
- Speaking and writing for varying audiences with minimal review;
- Works in context of the library as a team in multiple units doing complex but well defined tasks and projects throughout the library;
- Exerts greater influence and impact within the library and on the campus.

#### The Associate Librarian:

- Has significant experience;
- Shows growth and achievement generally and within one or more areas of expertise;
- Displays both depth and breadth of skills;
- Works with an array of audiences, applications, and levels of formality;
- Contributes and leads in professional activities (research and publication, chairing committees, initiating activities, etc.) and with service groups having a wider scope within the library, campus and/or community;
- Plans and manages within and among various areas of the library;
- Exerts significant influence and impact in one or more areas of expertise within the library, and potentially within the profession at large.

The Librarian:

- Has broad and deep experience- is considered a “master” of the profession in one or more areas of expertise;
- Excellent contributions to the profession and in service to the library, campus, and community;
- Demonstrates a high level of skill in all aspects of academic librarianship;
- Plans and manages one or more areas of the library;
- Has supervisory responsibility for one or more areas of the library;
- Leads in professional activities (research and publication, chairing committees, initiating activities, etc.) and with service groups having a wider scope within the library, campus and/or community;
- Enhances the reputation of the library and the campus through accomplishments;
- Exerts broad and final influence and impact in one or more areas of the library;
- Works with colleagues throughout academe.

**Standards for Appointment to Assistant Librarian**

The Assistant Librarian title is primarily used for members of the library faculty staff at the starting or introductory level. As such, at the time of appointment Assistant Librarians are expected to have demonstrated or show promise of effectiveness in the areas of scholarship as outlined above and an affinity for engagement with faculty, staff, and students. They are expected to be knowledgeable in the areas in which they are primarily assigned, but they are also expected to contribute to the library as a whole. Assistant Librarians should possess a graduate degree in library science, information studies, or other appropriate degree.

Assistant Librarians may not receive Continuing Appointment without promotion through the ranks to Associate Librarian. To receive favorable consideration for Promotion to Senior Assistant Librarian, Assistant Librarians are expected to:

- Show effective professional performance, promise of growth in research and service;
- Contribute commensurate with the expectations of professional obligation, the institutional mission and goals of the library and the campus;
- Demonstrate consistently positive engagement with students and effectiveness in achieving learning outcomes;
- Remain current in the field of Librarianship/Information Studies;
- Demonstrate innovation and evolution in their methods and materials;
- Begin to develop a body of scholarly or creative work in order to advance;
- Contribute 10% of their time to College and community service of which at least half should be devoted to departmental and College governance.

The Assistant Librarian title may be used, temporarily or provisionally, for librarians whose work assignment includes significant scholarship and who meet all the qualifications for the Assistant Librarian rank except completion of a terminal degree (MLS or equivalent).

In most cases, Assistant Librarians are hired to fill entry level positions and time allocated for scholarship is minimal. There is every expectation that effective Assistant Librarians will be promoted. Assistant Librarians are eligible for promotion to a higher rank if they meet all promotional standards. Advancement in rank will not, in most instances, result in a change in work assignment.

### **Standards for Appointment/Promotion to Senior Assistant Librarian**

Senior Assistant Librarians are expected- in addition to meeting the standards for appointment as Assistant Librarian - to:

- Hold a terminal degree\* in their field of expertise;
- Have demonstrated or shown promise of effectiveness in Librarianship and Teaching and Learning as defined;
- Demonstrate positive engagement with students, faculty and staff;
- Produce a credible body of scholarship or creative accomplishment that is recognized as significant by other librarians and that demonstrates a penchant for original scholarly/creative work; Demonstrate (if promoted from within) and show evidence of a future commitment to devoting 10% of their time to College and community service of which at least half should be directed to departmental and College governance.

Individuals hired as Senior Assistant Librarians are not eligible for Continuing Appointment without promotion to Associate Librarian, except in the rare case where the individual is uniquely qualified to provide a service in high demand by the College. Advancement in rank will not, in most instances, result in a change in work assignment.

\*Usually the terminal degree for practicing librarians is the MLS degree. However, this is not universally true, and a professional or doctoral degree in another field may serve in extraordinary circumstances.

### **Standards for Appointment/Promotion to Associate Librarian**

Associate Librarians are expected – in addition to meeting the standards for Senior Assistant Librarian- to:

- Be experts and to hold a terminal degree in their field of expertise;
- Demonstrate a record of consistently positive engagement with faculty and students and effectiveness in achieving learning outcomes
- Be current in their fields of expertise and to have demonstrated innovation and evolution in their instructional methods and materials;
- Be engaged and successful scholars as defined in the Scholarship of Creative Accomplishment above, and demonstrated by (1) a portfolio of scholarly products that

portrays a coherent, sustained agenda, (2) meaningful professional engagement with peers, (3) and recognition by peers of significant scholarly achievements.

Associate Librarians promoted from within are expected to have carried a teaching load commensurate with the definition of the Scholarship of Teaching and Learning as defined above.

Associate Librarians promoted from within should demonstrate scholarly productivity commensurate with the proportion of their workload assigned to scholarship.

Associate Librarians must have demonstrated (if promoted from within) and commit to continuing to devoting 10% of their time to College and community service of which at least half should be directed to departmental and College governance. Advancement in rank will not, in most instances, result in a change in work assignment.

While not required for appointment, demonstrated success in collaborative work with academic peers is desired in Associate Librarians.

### **Standards for Appointment/Promotion to Librarian**

Librarians are expected –over and above the standards of the other ranks herein listed and described - to be experts in multiple areas of librarianship and to hold a terminal degree in their field of expertise. Although not required, ideally they will hold a second subject-specific Masters Degree.

Librarians promoted from within and Librarians hired from without are expected to have prior experience and are expected to have demonstrated consistently positive engagement with faculty and students and effectiveness in achieving learning outcomes. They are expected to be leaders in their fields and to have demonstrated innovation and evolution in their methods and materials.

Librarians are expected to be recognized as leaders in their fields of scholarship as demonstrated by:

- A significant body of scholarly/creative accomplishment that has demonstrably advanced the individual's field of study;
- Appointment or election to leadership positions in scholarly and professional organizations;
- Recognition of scholarly merit through awards and invitations to give scholarly presentations;
- Demonstrated success in collaborative work with academic peers.

Librarians promoted from within should demonstrate productivity in Librarianship, Teaching & Learning, Service, and Creative Accomplishment as described in this document commensurate with the proportion of their workload.

For promotion to the rank of Librarian the successful candidate must demonstrate a level of achievement in creative accomplishment beyond that presented at the time of promotion to Associate Librarian and give evidence of a continuing capacity for significant creative accomplishment in the future.

Librarians must have some demonstrated ability in library administration, supervision management, budgeting or commensurate experience. They must have a general demonstrable mastery of all aspects of librarianship as described above in this document. The rank of Librarian should be reserved for persons of proven stature in leadership, research, and service.

Librarians must have demonstrated (if promoted from within) and commit to devoting 10% of their time to College and community service of which at least half should be directed to departmental and College governance.

### **Standards for Continuing Appointment (Tenure)**

Continuing Appointment is an appointment for individuals holding academic rank that continues until the individual resigns, retires, or is terminated. It is equivalent to tenure in other universities.

Decisions regarding Continuing Appointment are separate from promotion decisions, though the two decisions are often made in concert.

#### *Eligibility for Continuing Appointment:*

The Policies of the SUNY Board of Trustees state that Assistant or Senior Assistant Librarians must serve seven years before receiving Continuing Appointment. If Continuing Appointment has not been granted, they may not continue beyond seven years. The decision on Continuing Appointment must be made before six years of qualifying service have been completed.

Associate Librarians or Librarians may be granted Continuing Appointment at any time. However, faculty in these ranks may not continue beyond three years without Continuing Appointment, and a decision on Continuing Appointment must be rendered within two years of service at either rank. Because Associate Librarians are eligible for Continuing Appointment at any time, Senior Assistant Librarians may be considered for Continuing Appointment prior to six years of service if they concurrently apply for and receive promotion to Associate Librarian.

### *Standards for Continuing Appointment:*

Under most circumstances, Continuing Appointment assures life-long employment at the College. The decision to grant Continuing Appointment therefore reflects a judgment that the faculty member will meaningfully contribute to the College mission and fulfill his/her collegial duties throughout his/her academic career. In addition to meeting or exceeding the above standards for the faculty rank achieved at the time Continuing Appointment is sought, the decision is based on three general criteria:

- (1) Perceived long-term need for the talents provided by the faculty member,
- (2) Demonstrated excellence in performance of the duties demanded by the position, and
- (3) Perception that the excellence will continue and in most case expand.

Because Assistant and Senior Assistant Librarians are normally hired with the mandate to meet the standards for promotion to Associate Librarian within six years, they will rarely and only in exceedingly irregular circumstances receive Continuing Appointment without earlier or concurrent promotion.

### **THE DEPARTMENT REVIEW COMMITTEE (DRC)**

The College's faculty bears first responsibility for upholding the standards for academic rank and Continuing Appointment. This responsibility is vested largely in the Department Review Committees which manage and oversee the review process for promotion and Continuing Appointment, and provide the seminal recommendations on these actions.

#### **Committee Responsibilities**

The Department Review Committee which will: (1) Review Assistant Librarians and Senior Assistant Librarians in their third year after initial appointment to either academic rank, (2) Review Assistant and Senior Assistant Librarians for reappointment in the fourth and/or fifth years after initial appointment to either academic rank *if* a reappointment decision is scheduled during that period, (3) Solicit external and internal letters of evaluation for candidates for continuing appointment and promotion, (4) Convene a meeting of library faculty who have attained the status sought by the candidate to discuss the candidate's qualifications for promotion and/or Continuing Appointment, and (5) Provide a recommendation to the Director of College Libraries on the candidate's qualifications for promotion and/or Continuing Appointment.

#### **Committee Composition**

The Department Review Committee will consist of a minimum of three (3) faculty members from the campus having Continuing Appointment. A Professor, with at least one-year of service at that

rank, will be appointed as DRC Chair by the Director of College Libraries in consultation with the Provost. Librarians will not participate as DRC members in decisions for promotion to ranks which they themselves have not yet achieved. Department Review Committee members should be drawn from the library faculty unless the library has insufficient staff to comprise the committee. In such case, the Director of College Libraries, in consultation with the Provost, will complete the Committee membership with faculty from other College departments.

### **DRC for Promotion/Continuing Appointment of the Director, of College Libraries**

To avoid conflict of interest, if the Library Director seeks promotion and/or continuing appointment, the Provost will appoint an *ad hoc* Department Review Committee comprised of a minimum of three College faculty members at the Professor rank from outside the Library. The candidate may name up to three faculty members to be included and up to three faculty members to be excluded from membership on their *ad hoc* DRC.

### **The College Review Committee (CRC)**

All recommendations concerning promotion and Continuing Appointment for library faculty will be subject to review by the College Review Committee (CRC) as set forth in **Section 4** of the **SUNY College of Environmental Science and Forestry Appointment, Promotion and Continuing Appointment (Tenure) Policies, Procedures and Standards (Part A)**, as revised January 1, 2015

## **INITIAL APPOINTMENT**

### **Process**

Initial appointments to academic rank are made by the President of the College with the advisement of the Provost, the Director of College Libraries, the Search Committee, and the library faculty.

The library faculty will vote on the acceptability of each potential new faculty member. The results of that vote will be included in the Director's recommendation to the Provost and in the Provost's recommendation to the President.

### **Determination of Academic Rank**

In most faculty searches academic rank is predetermined in the position description. The Search Committee, the Director of College Libraries, and Provost should recommend candidates for appointment only if they meet the standards for the prescribed academic rank. For searches in which no single academic rank is prescribed, the Director of College Libraries, with advisement of the Search Committee, will recommend the academic rank for potential new faculty appointments. If the rank recommended is above Senior Assistant Librarian, the Library faculty – acting in the



stead of an ad hoc departmental Department Review Committee - should, within one week, review the candidate's full application package and provide its recommendation on academic rank. The Committee's recommendation will be included in the Director's recommendation to the Provost and the President.

### **Entry with Continuing Appointment**

Continuing Appointment may be granted at the time of initial appointment for individuals entering at the Associate Librarian or Librarian ranks. Upon request of the Director of College Libraries, the library faculty, acting in the stead of an ad hoc Department Review Committee should, within one week, review the candidate's full application package and provide a recommendation regarding Continuing Appointment. The Department Review Committee's recommendation will be included in the Director's recommendation to the Provost and the President.

## **MENTORING AND REVIEW PRIOR TO PROMOTION and CONTINUING APPOINTMENT**

### **Faculty Members Without Continuing Appointment**

#### *Mentoring*

Library faculty members entering ESF without Continuing Appointment will be mentored by the other members of the library faculty. At least one mentor will be of a higher rank.

The mentor(s) and Director of College Libraries should meet with the faculty mentee at least once each academic year. They should review the professional progress of the mentee and offer advice to improve the mentee's efficacy. The Director of College Libraries should submit a written summary of this meeting to the mentee's file. Additional meetings between the faculty mentee and the Mentor(s) are encouraged.

#### *Annual Review for Assistant Librarians and Senior Assistant Librarians*

The Director of College Libraries will meet annually in July with library faculty of all ranks to review progress towards promotion and continuous appointment goals. This review will be based in part on the annual report submitted by the faculty member. A written summary of that review will be provided to the library faculty member by the Director. The evaluation will address the faculty member's readiness for Continuing Appointment and/or promotion and recommend the time of the next DRC review.

#### *Other DRC Reviews for Assistant Librarians and Senior Assistant Librarians*

The Director, in consultation with the library faculty holding continuing appointment, may require additional reviews by a DRC for Assistant Librarians and Senior Assistant Librarians after the third year and before application for Continuing Appointment. Such reviews will be similar to the annual

review but will not require formal input from faculty members outside of the library faculty and the director.

#### *Associate Librarians and Librarians without Continuing Appointment*

Associate Librarians and Librarians appointed without Continuing Appointment will have Department Review Committees established as described above.

Associate Librarians and Librarians without Continuing Appointment will be reviewed by the DRC in their first year after appointment, unless they have applied for Continuing Appointment. The review will be conducted in the same manner as the third year review for Assistant Librarians and Senior Assistant Librarians.

It is expected that library faculty hired and appointed at these ranks have a strong background demonstrating the desired traits enumerated in this document. Due to the abbreviated review period for library faculty hired at these ranks, due and appropriate credit will be given for accomplishments and achievements up to three years prior to their appointment.

#### *Annual Review for Associate Librarians and Librarians*

Every year following appointment as an Associate Librarian or Librarian with Continuing Appointment, Associate Librarians will provide the Director with their annual reports and an analytical summary of their activities and progress in teaching, scholarship, and service since said appointment.

During their fourth year after appointment as an Associate Librarian with Continuing Appointment, and if necessary every three years thereafter Associate Librarians, shall be jointly reviewed for promotion to the rank of Librarian. The procedures and timeline for this review will follow the guidelines, timelines, and procedures delineated in the College-wide Appointment, Promotion and Continuing Appointment Policies, Procedures and Standards unless otherwise defined in this document. Based on the submitted materials, the Director will prepare a written review of the faculty member's progress toward promotion (for Associate Librarians) to the rank of Librarian. The review will be submitted to the Provost who will transmit it along with his/her evaluation to the reviewed faculty member. Those having served five or more years at the rank of Librarian will be encouraged to consider the possibility of nomination for the SUNY Distinguished Librarian rank.

## REVIEW FOR PROMOTION AND CONTINUING APPOINTMENT

### Confidentiality

All communications, written and oral, that are part of the evaluation process for promotion and Continuing Appointment must be held in complete confidence among those granted access to such communications as defined below.

### Overview

Application for promotion and Continuing Appointment is the responsibility of the individual library faculty member. Director of College Libraries, DRCs and/or mentors (formal or informal) may provide advisement, but the process may only be initiated by response to a College call for self-identification of candidates for promotion and Continuing Appointment. Once the process has begun, it will proceed to its conclusion unless the candidate asks, in writing (to the Provost), to withdraw his/her application. Unless specifically addressed herein, the process for review will be governed by **SUNY College of Environmental Science and Forestry Appointment, Promotion and Continuing Appointment (Tenure) Policies, Procedures and Standards (Part A) as revised January 1, 2015.**

Candidates for promotion or Continuing Appointment will initiate an Evaluative File by preparing a dossier that fully portrays their academic activities and accomplishments and uses them to demonstrate that they have met the standards for promotion and/or Continuing Appointment. The dossier will be reviewed by peers external to the College (For candidates seeking a rank above that of Senior Assistant Librarian. Assistant Librarians seeking promotion to Senior Assistant Librarian do NOT need to solicit external or internal review letters.) and by peers internal to the College but external to the Library who will provide commentary on the case for the requested action. Current and/or former students will also be solicited for comments about the candidate's teaching and advising performance. Comments from the peer and student reviewers will be added to the Evaluative File before it is reviewed by library faculty at or above the status the candidate is seeking. The last mentioned faculty will meet to discuss the merits of the candidate's case and then add their individual written comments to the Evaluative File.

The DRC will review the Evaluative File after the appropriate library faculty have submitted their comments. They will prepare a recommendation on the requested action, add it to the Evaluative File, and submit the Evaluative File to the Director. The Director will, in turn, add his/her recommendation before submitting the Evaluative File to the Provost. The Provost will add his/her recommendation to the Evaluative File and submit it to the President.

Candidates will receive copies of the recommendations prepared by the Director and the Provost at the time they are forwarded to the next level. Once the Evaluative File reaches the President, candidates will have one week to review the Evaluative File contents that have been designated as non-confidential, and prepare a response, if they wish, before Presidential review.

The decision to promote or grant Continuing Appointment is the President's (Article XII, Title B, §1, Policies of the Board of Trustees). However, if the President denies Continuing Appointment and the denial is contrary to the recommendation of the Department Review Committee, the candidate may, within ten days of presidential notice, appeal to the SUNY Chancellor (§33.3 Agreement between SUNY and UUP). Otherwise, appeals are limited to "... failure by the State to follow the procedural steps related to ... promotion of employees contained in the Policies of the Board of Trustees..." as prescribed in §7.2 of the Agreement between SUNY and UUP.

### **Candidate Evaluate File and Dossier**

The candidate will prepare a dossier containing the following materials: (1) the candidate's Annual Reports since the time of appointment or since the last promotion, (2) the candidate's curriculum vitae, (3) documentation of the candidate's achievements in librarianship, teaching & learning, service, and creative accomplishment (as defined in this document) (4) a statement by the candidate demonstrating how he/she has met the standard for promotion and/or Continuing Appointment, and (5) other documents prescribed in department promotion and tenure guidelines. The dossier should be organized according to the outline provided in Appendix A.

The Evaluative File, upon which the candidate's credentials will be judged, contains (1) the candidate's dossier, (2) solicited letters of evaluation above the rank of Senior Assistant Librarian(hereafter referred to as "solicited materials"), and (3) recommendations from the Department Review Committee, the Director and the Provost, as they are made.

### **Solicited Materials**

Evaluative Files for promotion above the rank of Senior Assistant Librarian and Continuing Appointment must include written evaluations from (1) at least five practicing, professional librarians from outside of ESF (external reviewers) at least two of which must work at academic institutions, (2) at least three faculty members from ESF but outside of the Library. (Internal Reviewers). Further, faculty members in the candidate's department who are at or above the status sought by the candidate will be invited to provide written evaluations of the candidate's case for promotion and/or Continuing Appointment.

Evaluations will be obtained through solicitation by the DRC. Materials that are both unsolicited and unsigned will not be made a part of any evaluation and recommendation process.

### *Selection of Reviewers*

At the time of application, candidates should submit names (and contact information) of at least six potential external reviewers, three potential internal reviewers and five potential student reviewers (for those candidates with classroom instruction responsibilities). Candidates may also identify individuals who should be excluded as reviewers. The Department Review Committee, in consultation with the Director of College Libraries, will select the individuals from whom evaluations will be solicited. At least half of the evaluations in each of the three groups should derive from the names supplied by the candidate.

*External reviewers:* Should be tenured faculty members or practicing professional librarians recognized as leaders in the candidate's discipline. Individuals who have mentored or been mentored, co-authored or otherwise collaborated with the candidate in a formal manner may not be selected.

*Internal reviewers:* Should be tenured ESF faculty members who are familiar with the candidate's teaching, research and service, but who have not mentored or been mentored, co-authored or otherwise collaborated with the candidate in a formal manner.

### *Solicitation Procedure*

The Chair of the Department Review Committee will request evaluations from the above-mentioned parties. The candidate's dossier, the College and departmental standards for promotion and/or Continuing Appointment (as appropriate), and a "Solicited Materials Form" (available from the Office of Human Resources) must accompany the request to external and internal faculty reviewers. The "Solicited Materials Form" must accompany requests to student reviewers. (See Appendix X2)

External and internal faculty reviewers should be instructed to evaluate the candidate's case for promotion and/or tenure (as appropriate) based on the College and departmental standards. External reviewers are expected to concentrate on scholarly productivity, significance, and reputation. Internal reviewers, having greater knowledge of the candidate and the institution, are expected to provide substantive commentary on additional dimensions of the candidate's record. Student reviewers should be instructed to comment on the candidate's strengths and weaknesses as a teacher and/or advisor.

All reviewers should be instructed to identify the nature of their association with the candidate, if any.

The Library is required to create and maintain a roster of the individuals solicited and to retain copies of all requests for peer evaluation.

### *Handling of Solicited Materials*

Once a solicited evaluation is submitted to the DRC, the evaluation must be included in the Evaluative File. The Solicited Materials Form must accompany the evaluation.

Solicited materials may be examined by faculty members having responsibility for reviewing the Evaluative File. However, said faculty members should not disclose information contained in the solicited materials to anyone at any time.

Solicited evaluations may be shared with a candidate following the Provost's review and prior to the President's review, but only if the evaluator has indicated so on the Solicited Materials Form. If no form is returned with the evaluation, it is presumed that the reviewer has not authorized the sharing of materials with the candidate.

### **Review by Library Faculty**

After the solicited materials have been received and placed in the Evaluative File, library faculty members at or above the status sought by the candidate will be invited by the DRC to review the Evaluative File and provide a written evaluation of the candidate to the DRC. Such written evaluations must be accompanied by a completed Solicited Materials Form as described above and will be added to the Evaluative File.

Prior to the deadline for submission of this evaluation, the DRC will hold a meeting for the above-mentioned faculty members to discuss the merits of the candidate's case. No vote will be taken at this meeting. All communications that occur during this meeting are strictly confidential.

### **DRC Review**

Following receipt of the written evaluations from the aforementioned library faculty, the department DRC will review the Evaluative File and prepare a recommendation for submission to the Director of College Libraries. The DRC's recommendation should summarize the strengths and weakness of the candidate's case in relation to the College and Library standards, and convey the tally of the DRC members' votes for the action(s) requested by the candidate.

### **Director of College Libraries Review**

The Director of College Libraries will receive the Evaluative File, including the DRC recommendation, from the DRC, and prepare an independent recommendation for submission to the College Provost. The Director of College Libraries' recommendation should convey the rationale for/against Continuing Appointment and/or promotion, citing the evaluations/recommendations of the departmental DRC and the solicited reviewers. Where

applicable, the recommendation may also identify special consideration cases (i.e. early promotion/tenure, delays in promotion/tenure, special hiring circumstances) and mixed or negative votes if not explained in the DRC's report. The Director's recommendation will be copied to the candidate when it is forwarded to the Provost.

If the Director of College Libraries does not hold a status at or above that requested by the candidate, a Director Surrogate will be named by the Provost, in consultation with the department DRC, to fulfill the Director of College Libraries Review.

If the Director of College Libraries is being reviewed for promotion and/or Continuing Appointment, the Evaluative File will pass directly from the DRC to the Provost without Director of College Libraries review.

### **CRC Review**

The CRC will receive the Evaluative File, including the DRC's and Director of College Libraries' recommendations, and the candidate's departmental guidelines that supplement the policies and procedures set out in this document.

The CRC shall conduct a substantive review. This evaluation shall review the file in light of the principle of "deference to the initial determination" to determine whether the candidate meets the criteria specified in the ESF and departmental guidelines for promotion and Continuing Appointment.

The CRC's recommendation shall be made according to its established procedures. The CRC shall record the rationale for or against Continuing Appointment and promotion, citing the evaluations and recommendations of the DRC, Director of College Libraries, and the solicited reviewers. This rationale must be in writing and must be transmitted, along with the tally of the vote to the Provost along with candidate's evaluative file.

### **Provost Review**

The Provost will review the Evaluative File forwarded by the CRC, and prepare an independent recommendation for submission to the President.

The Provost's recommendation will be copied to the candidate and the Director of College Libraries when it is forwarded to the President.

## **Presidential Review and Decision**

The President will receive the Evaluative File from the Provost. At the time of transmittal, candidates will receive notification that they have five (5) working days to review the Evaluative File, exclusive of Solicited Materials and departmental faculty reviews that have been designated as confidential, and, if they wish, prepare a response (§31.6 Agreement between SUNY and UUP). Following review of the Evaluative File and the optional candidate response to materials in the Evaluative File, the President will decide in favor or against the candidate's request for promotion and/or Continuing Appointment.

## **APPEALS**

### **Continuing Appointment.**

Candidates may appeal the President's decision on Continuing Appointment on the grounds of procedural error (§30.3 Agreement between SUNY and UUP). Such appeals will follow the Grievance Procedure outlined in Article 7 of the Agreement between SUNY and UUP.

Further, if the President recommends against Continuing Appointment and that recommendation is contrary to the recommendations of both the DRC and CRC, the candidate may appeal to the Chancellor if (1) the candidate may not continue employment with ESF past the end of his/her current term appointment without Continuing Appointment, and if (2) s/he has requested the reasons for the Presidential recommendation within ten (10) working days of receiving notification of it (§33.2 - §33.4 of the Agreement Between SUNY and UUP).

**Promotion.** Candidates may appeal the President's decision on promotion on the grounds of procedural error (§30.3 Agreement between SUNY and UUP). Such appeals will follow the Grievance Procedure outlined in Article 7 of the Agreement between SUNY and UUP. Appeals may not be filed on other grounds.

## **APPOINTMENT AS DISTINGUISHED OR UNIVERSITY LIBRARIAN**

Appointment as [Distinguished Librarian](#) may be given by action of the SUNY Board of Trustees on recommendation of the Chancellor and is a continuing appointment. The Distinguished Librarian Rank is conferred upon librarians whose contributions have been transformational in creating a new information environment by providing access to information, sharing or networking information resources, and fostering information literacy. The Distinguished Librarian rank honors and promotes the achievement of personal excellence, groundbreaking professional progress, and wide-ranging benefit to the academic community. An ESF Faculty Governance committee solicits nominations for this rank each year and decides on which nominations if any to forward to SUNY. Only one nomination per title per campus is allowed each year. Self-nominations are not accepted. A candidate cannot be considered for this rank until at least five years after reaching the rank of Librarian.



## **APPENDIX A – CANDIDATE EVALUATIVE FILE**

Materials assembled for the Promotion and/Continuing Appointment Evaluative File include elements provided by the candidate as well as elements added subsequently by a variety of reviewers. The Evaluative File should include the following components organized as listed:

### **Provided by Candidate:**

- Cover Page (checklist) and Table of Contents
- Candidate's Statement
- Curriculum Vitae (CV)
- Annual Reports (beginning with first year after initial appointment to current position)
- Librarianship Portfolio
- Teaching Portfolio
- Service Portfolio
- Creative Accomplishment Portfolio
- Additional Supporting Data

### **Provided by Reviewers:**

- Peer Reviews from Faculty External to ESF (above the rank of Sr. Assistant Librarian)
- Peer Reviews from Faculty at ESF Outside of Moon Library
- Peer Reviews by Moon Library Faculty
- Department DRC Recommendation
- Director of College Libraries Recommendation
- Provost Recommendation

### **Cover Page and Table of Contents**

A common College-wide cover page listing candidate status, action under consideration, checklist, and table of contents should be used.

### **Candidate's Statement**

The candidate should prepare a statement, no more than three pages in length, stating the case for his/her promotion and/or Continuing Appointment, referencing the institutional and library standards and the supporting information that he/she has provided in the dossier.

### **Curriculum Vitae (CV)**

A candidate's CV should be concise, and include the following:

- (1) Employment (institutions, positions, dates)
- (2) Education (institutions, degrees granted, dates)
- (3) Courses taught by year

- (4) Department, College, and University Service
- (5) Professional offices held, Professional Service, and awards received, with dates
- (6) Publications and presentations (dates)
- (7) Other instances of creative accomplishment
- (8) Certificates of Recognition and/or Continuing Education (specializations) earned (dates)

**Portfolios listed below should reflect the percentages of the Candidate's assignment and professional obligation as discussed in *Applying the Standards – Consideration of Different Work Assignments*: on page 7 of this document.**

### **Librarianship Portfolio**

The Librarianship portfolio should include: a summary of responsibilities and experiences related to the candidate's position in the library; a brief list of services, implemented, designed, provided or improved by candidate's initiative; a brief statement of administrative responsibilities within the library; professional honors or awards for library related services; and a list of continuing education courses taken and certificates earned for specialized knowledge; courses designed, taught, or presented by the candidate.

### **Teaching Portfolio**

The Teaching portfolio should include: a summary table of courses taught, credit hours and enrollments since the candidate's initial appointment; a brief course description for each course including a list of key concepts, learning outcomes, skills taught, special features (if any) and representative class material (computer software, exercises or projects) that was developed by the candidate; end-of-course student surveys; peer evaluation of teaching; a personal evaluation of teaching that may include efforts to upgrade teaching skills, new courses developed, collaborative efforts with other faculty in teaching activities, guest lectures, presentations to the campus community or subsets thereof or any other "non-documented" teaching in which the candidate was involved; innovations in teaching; and honors and awards for teaching. Testimonial letters from colleagues should be included in "Additional Materials".

### **Service Portfolio**

The Service portfolio should include: summary of committee assignments and other administrative duties; description of accomplishments; summary of public service (e.g., public talks, unpaid consulting) and professional (e.g., referee, organization officer) activities; contributions related to student engagement beyond the classroom and research environments; activities related to outreach and promotion of ESF and its programs; and efforts towards student recruitment and retention at ESF.

## **Creative Accomplishment Portfolio**

Documentation for the Creative Accomplishments portfolio includes: a list of grants (if any) proposed and received (title, \$, sponsor) since initial appointment; a list of publications (classified as: refereed, non-refereed, abstracts, popular); a list of copy-edited works such as open educational resources; a brief description (with persistent hyperlink) of digital repositories created, curated, and managed; selected proposals; selected publications (and clarification of candidate's role in collaborative projects); finding aids, bibliographies, and research guides created; list of awards; invitations to speak; presentations given; appointments to national and international committees since initial appointment; a summary of actions taken to learn new concepts and techniques (e.g., professional workshops); and personal evaluation of scholarship and research program including a description of what the candidate considers to be his/her most significant accomplishments.

## **APPENDIX B – EVIDENCE USED TO EVALUATE TEACHING, SCHOLARSHIP, AND SERVICE FOR PROMOTION AND CONTINUING APPOINTMENT**

### **Librarianship**

- Completion of administrative assignments for the library.
- Administrative or professional accomplishments or achievements in conjunction with library duties. (i.e., practices, policies, procedures developed, improved, or clarified)
- Examples of research aids, bibliographies, or other finding tools developed.
- Statistical evidence of productivity within the definition of library assignments. (i.e., titles cataloged, reference questions answered, Ill transactions completed, etc.,)
- Continuing Education activities created, organized, or attended.

### **Teaching**

Each Department DRC uses a combination of peer evaluation, student evaluation, and self-evaluation. The evaluation may include various criteria as appropriate, including the following:

- Clarity and organization of presentations
- Effectiveness of delivery
- Expertise in subject area
- Positive interactions with students
- Courses taught, credit hours, and enrollment
- Efforts to upgrade teaching skills
- Library Science Interns mentored
- Serving on graduate student defense and/or candidacy committees
- New courses developed
- Collaborative efforts with other faculty in teaching activities
- Innovations in teaching
- Honors and awards for teaching

### **Service**

A candidate's service contribution to the University, College, and the public will be evaluated. Service will be judged based upon the effective participation and leadership of a faculty member in furthering science and instruction in science for the University, College, and public. The following areas may be considered:

- Participating in the work of the College or University as evidenced by membership and chairing workshops, committees, etc
- Completion of administrative assignments for the University or College
- Effective mentoring and participation in campus-related student groups
- Participating actively in transmitting knowledge to the public, including uncompensated consulting to nonprofit organizations and presentations to various groups

- Holding a position in a professional society
- Chairing or participating in national and/or regional task forces for professional societies, state or federal agencies
- Publishing information related to field of information for distribution to the public
- Responding to technical queries in library sciences
- Involvement in outreach to public and private schools

## **Creative Accomplishment**

Regardless of discipline, successful candidates are expected to demonstrate mastery of their subject area and continued professional growth. In many disciplines at SUNY-ESF high quality research is a key component of Scholarship. Therefore, the originality, quantity, quality, and impact of a candidate's creative accomplishments will be evaluated. Excellence can be shown by developing and executing significant programs in librarianship that may be demonstrated by the following:

Exemplars of Creative Accomplishment include:

- Invited presentations, honors, awards and licensing by professional organizations
- Reviewing manuscripts for library/information studies journals
- Serving as a reviewer or being a panel member for funding organizations
- Writing or editing books/Writing book chapters
- Serving as an editor or reviewer of a journal
- Keeping abreast of work in a specific area of library science/information studies as indicated by completing classes, travel, development of new skills, and involvement in professional societies and meetings
- Publishing in journals of high quality
- Copy-edited works such as open educational resources
- Digital Archives of scholarly works managed by the Library
- Generating high-quality proposals as indicated by reviewers' comments
- Receiving grant or other funding for supporting library programs especially from external sources
- Involving undergraduate and graduate students in library programs and education
- Obtaining advanced training to improve skills (e.g., attending workshops, earning certification)
- Receiving professional recognition as indicated by awards and honors
- Being recognized at the national and international level as indicated by publication in national and international journals and the impact of creative accomplishments

## APPENDIX C – ALLOCATION OF NON-LIBRARIAN FACULTY HOLDING ACADEMIC RANK ON THE SYRACUSE CAMPUS' FULL TIME EQUIVALENTS (FTE)

February 10, 2014 Draft

Within the constraints of the College's Faculty Workload policy, a faculty member's work assignment is determined by College's administration. It is common practice among public research universities to divide faculty workload among five basic responsibilities: Teaching, Scholarship, University Service, Professional and Public Service, and Administration. Together these should sum to 100% for a full-time faculty member. Such a system, required by law for Land-Grant institutions, has several advantages. It provides guidance to faculty members regarding utilization of their time; it fosters a more equitable workload distribution among faculty; and, it is useful for fairly judging faculty contributions (as for promotion and continuing appointment) since FTE allocations are not uniform and can aid in analyses that enhance understanding of faculty productivity strengths and weaknesses.

Faculty members' work can be divided among five responsibilities:

- **Teaching** involves all aspects of teaching of credit-bearing courses (e.g. grading, teaching effectiveness assessments, and supervision of teaching assistants and graders).
- **Scholarship** is the creation of scholarship and its dissemination in publications and presentations, as well as related activities, such as: (1) preparation of grant proposals and administration of grants, (2) communication with scholarly peers, (3) advising and teaching research-based graduate students (i.e. MS and PhD), including supervising courses with 899 and 999 prefixes, (4) reviews of peer scholarship and grant proposals, and (5) service as peer-review journal associate editor or reviewer.
- **University, College, and Department (UCD) Service** involves efforts that support and promote UCD and non-research service that advances the UCD's missions, such as (1) academic advising of undergraduate and professional graduate students (e.g. MPS, MLA, MF), (2) service as chairs and members of UCD committees, and (3) chairing graduate student defenses.
- **Professional and Public (PP) Service** includes (1) leadership of national professional societies' major committees (e.g., science, publication, and policy committees), (2) chair of national or state governments' advisory, review, or other boards (e.g. NSF panels, government task forces), (3) editor of a peer-review journal, and (4) public service and outreach educational efforts aimed at off-campus and non-peer audiences. Note: All professional and public service appointments must be approved by department chairs.
- **Administrative Service** involves major administrative roles (e.g., Faculty Governance chair, undergraduate and graduate coordinators, directors of research institutes and centers) beyond the normal service obligations that faculty members provide to the university, college, and/or their department. Note: All administrative service appointments must be approved by the Provost.

While all faculty members will generally have teaching and UCD service responsibilities, few faculty members will have all five responsibilities. For example, instructors generally will not have significant scholarship responsibilities and most faculty members will not have PP or administrative service responsibilities.

## Basic Premises

Allocating faculty FTE responsibilities cannot be done precisely because of the differences in each specific assignment. However, a rough estimate can be achieved that captures gross variations in work effort by responsibilities. Guidelines for deriving individual allocations are based on four premises:

- A faculty member's work assignment must sum to 100% for a full-time position (1 FTE) and should be divided among teaching, scholarship, UCD service, and in a few cases PP service and administrative service.
- A faculty member having no other assignments other than teaching should teach eight 3-credit hour courses in a year.
- All faculty members will have a 10% allocation towards UCD Service. Department chairs may change this allocation in special circumstances.
- Teaching is the only responsibility quantitatively defined by the college. The standard allocation for a "regularly assigned" three credit hour course would equal a 12.5% teaching allocation, a four credit course would equal 16.5%, and a one credit hour course would equal a 4%.
  - Department chairs have the ability to make adjustments to these allocations in special circumstances. Adjustments shall take into account resources allocated to classes, such as teaching assistants and graders, however there are usually no adjustments for lab courses and shared resource courses (i.e. shared resource courses equal one course).
  - Courses with 497, 498, 499, 798, and 799 prefixes are not "regularly assigned" credit-bearing courses for the purposes of teaching responsibilities. Although they are counted towards meeting teaching responsibilities, they are not used to calculate teaching percentage allocations.
  - Faculty members teaching a course with another faculty member will generally be allocated one-half the responsibility for such a course (e.g. each faculty member will have a 6.25% teaching allocation for that course). Department chairs can adjust allocation percentages for team taught courses, but the total percentage allocation for the course must be equivalent to the course's allocation if the course was taught by a single faculty member (i.e. the percentage allocation for a 3 credit course must equal 12.5%.
  - Faculty members teaching multiple sections of the same course receive a separate percentage allocation for that course only if each section is equivalent to a stand-alone regularly scheduled course (e.g. writing and math instructors' teaching multiple independent sections of a course).
  - Teaching responsibilities should not include allocations for courses in which faculty members receive separate remuneration for a course (e.g. summer school courses).

### **Assignment and Evaluation of FTE Responsibilities**

- Department Chairs have the responsibility to determine each faculty member's workload percentage allocations. They should do so in consultation with the faculty member and the Provost.
- This document's policies are used in conjunction with the ESF Promotion and Continuing Appointment standards to assess faculty members' productivity.



## **APPENDIX D - POLICY ON FACULTY TEACHING, SERVICE, AND RESEARCH RESPONSIBILITIES**

TO: ESF Faculty

FROM: Cornelius B. Murphy, Jr., President

RE: Policy on Faculty Teaching, Service and Research Responsibilities –  
Approved by President Whaley (1991), Reaffirmed by President Murphy  
(2000), Updated by President Murphy (2010)

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The policy described below reflects faculty teaching responsibilities at ESF. It expresses the unique capabilities of each faculty member and the needs of the institution in teaching, public service and research.

### **COLLEGE OF ENVIRONMENTAL SCIENCE AND FORESTRY STATE UNIVERSITY OF NEW YORK**

#### **POLICY ON FACULTY TEACHING, SERVICE, AND RESEARCH RESPONSIBILITIES**

Faculty in American universities and colleges have traditionally divided their professional responsibilities into three parts: teaching, service, and research. While the first two are common to all types of higher educational institutions, it is the last that distinguishes a doctoral granting Institution. The development of new knowledge is an explicit part of its mission; indeed, some of its most active researchers are among its best teachers. Service, too, takes on a particular cast at an Institution which has demonstration in environmental science and forestry, incorporated under service within its specialized mission. Further, without participation in Faculty and College governance and other activities, a faculty member is not fully a citizen. At a doctoral campus with strong emphasis also on professional programs of which some carry licensure and specialized accreditation needs, there is an added expectation that faculty members are also active leaders in their disciplines and in the wider community.

Faculty members are accountable for the three areas of responsibility and their performance in each is evaluated for continuing appointment, promotions, and discretionary increases in salary.

Research and service roles of the faculty are sometimes misunderstood by those not familiar with the purposes of specialized programs at a research campus such as Environmental Science and Forestry. Thus there are needs to delineate the nature of faculty responsibilities and the variety of ways in which faculty meet these responsibilities.

ESF, over the years, has utilized the State University-wide system for measuring the number of courses taught by faculty; but while informal norms exist, the means to assess the research and service parts of a faculty member's responsibility have not been clearly identified. It is a combination of the three that constitutes the total responsibility of the faculty, but only one has been systematically scaled. In order to help demonstrate that apparent differences are justified and to assure fairness across the campus, the following articulates expectations with respect to the balance among teaching, research, and service.

These expectations are based on the assumption that not all faculty in the College, nor indeed all faculty within individual Departments, will be responsible for the same levels of teaching, research, and service. While a basic level of each is required of all faculty, responsibilities beyond this level may vary and indeed are expected to do so.

The following framework describes how teaching, research, and service are generally understood to be balanced in the College. Obviously, the framework must be made applicable to individual Departments and modified as appropriate to take into account a variety of elements such as design courses, on and off-campus laboratory sections, comprehensive synthesis and project courses and the like. While diverse learning technologies must be accommodated, the framework does provide a general basis for equitable assessment.

For purposes of this framework, and with the understanding that equivalencies need to be specified, courses are assumed to consist of lectures or seminars for three hours a week and are semester-long in duration. Further, it is assumed that faculty may balance out responsibilities for teaching, research, and service over several semesters. Thus, for two years a faculty member might give extensive service to a Department, and in the third and fourth years, efforts in this area may be proportionately modest. It is also assumed that faculty may be called upon to teach at both the undergraduate and graduate levels. Finally, it is assumed that Departments will take into account the level of student demand in making decisions about the degree of responsibilities for teaching, research, and service for each faculty member.

## The Framework

While all faculty are expected to attend faculty meetings, maintain office hours, advise a reasonable number of students, and provide independent study courses, there may be distinct variations in the amount of teaching, research, and service rendered by individual faculty. Essentially there are four general patterns describing the distribution of professional responsibilities expected of faculty:

- 1) Faculty meet the responsibilities described above; teach three courses per semester; engage in scholarly activities appropriate to their discipline; and engage in college/University service and/or approved relevant extramural activities.
- 2) Faculty meet the responsibilities outlined in 1 above, except they teach five courses a year. In this case, they are also expected to be engaged in substantial research that results in significant scholarly products in their field or significantly involved in doctoral education.<sup>1</sup>
- 3) Faculty meet the responsibilities outlined in 1 above, but instead teach two courses per semester. In this case, they are also expected to be significantly involved in doctoral education<sup>1</sup> and engaged in substantial research that results in significant scholarly products recognized in their field of study.
- 4) Faculty whose initial appointment is in the Instructor title whose primary professional obligation is classroom instruction will typically teach four courses each semester. In this case, their research and service combined does not typically exceed 20% of their professional obligation.

In addition to the above, course reduction(s) may be granted by a Department Chair, with the approval of the Provost/Vice President for Academic Affairs, when faculty members secure sufficient externally generated funds to allow them to offset a proportionate amount of course time or provide sufficient other benefits to the College to warrant such reduction(s), recognizing that except for the most unusual circumstances, all faculty are expected to teach at least one course a semester.

Course reduction(s) may be granted for unusual administrative or service requirements (e.g., serving as Undergraduate Curriculum Director). This reduction(s) is in addition to the

service responsibilities identified in the three patterns described above and requires the approval of the Provost/Vice President for Academic Affairs.

### Administration

The successful administration of this policy is the primary responsibility of the chairperson of individual Departments. The Provost/Vice President for Academic Affairs, in collaboration with Department Chairs, is responsible for approving exceptions to the preceding which allow variations in individual responsibilities to afford improved overall balance in a program. When such variations in responsibilities affect matters such as class size and course scheduling, they are expected to be planned by the relevant Department Chairs, normally one full year in advance.

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<sup>1</sup>For these purposes, doctoral education is typically defined as chairing dissertation committees, administering doctoral qualifying examinations, and teaching at the graduate level.